

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff,

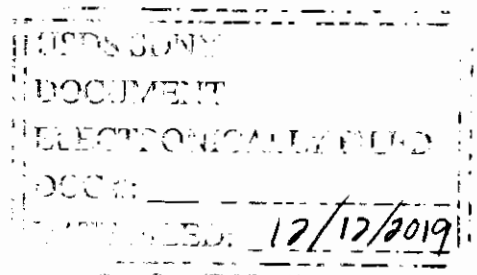
- against -

ONE OR MORE UNKNOWN TRADERS IN THE  
SECURITIES OF BIOVERATIV, INC.,

Defendants.

18-CV-00701-JGK

ECF CASE



**PROPOSED ORDER**

**WHEREAS** on January 26, 2018, the SEC filed a Complaint alleging insider trading against unknown traders in the stock of Bioverativ, Inc. ("BIVV") and sought an order freezing all assets related to the purchase of 1,610 BIVV option contracts from January 12, 2018, through January 19, 2018, made by those unknown traders. *See* Doc. ## 2; 10.

**WHEREAS** on February 9, 2018, the Court entered an Order granting the SEC's request for a preliminary injunction that, among other things, froze all assets related to the purchase of the 1,610 BIVV option contracts. *See* Doc. # 14 ("Asset Freeze Order").

**WHEREAS** on June 13, 2019, the SEC filed an Amended Complaint alleging that Roland M. Mathys engaged in insider trading with respect to his purchase of 1.607 of the 1,610 BIVV option contracts. *See* Doc. # 37.

**WHEREAS** on November 13, 2019, the SEC requested that the Court unfreeze the proceeds from the sale of the three (3) BIVV option contracts that were purchased by somebody other than Defendant Roland Mathys and were not included in the SEC's Amended Complaint.

**IT IS HEREBY ORDERED** that Plaintiff SEC's Motion to Unfreeze Assets is GRANTED and the Court's Asset Freeze Order is modified as follows:

1. Proceeds from the purchase and sale of the three option contracts that were not included in the SEC's Amended Complaint, in the amount of \$11,454.48, is released from the Court's asset freeze.
2. The Asset Freeze Order shall otherwise remain in full effect.

11/12, 2019  
New York, New York

  
UNITED STATES DISTRICT JUDGE